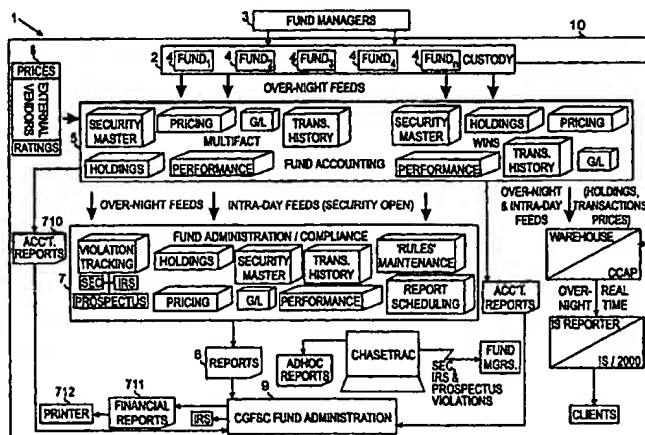




INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<p>(51) International Patent Classification ⁷ : G06F 17/60, 17/00, 19/00</p>	<p>A1</p>	<p>(11) International Publication Number: WO 00/58900 (43) International Publication Date: 5 October 2000 (05.10.00)</p>
<p>(21) International Application Number: PCT/US00/08642 (22) International Filing Date: 31 March 2000 (31.03.00) (30) Priority Data: 60/127,273 31 March 1999 (31.03.99) US 09/516,377 1 March 2000 (01.03.00) US (71) Applicant: THE CHASE MANHATTAN BANK [US/US]; 140 E. 45th Street, New York, NY 10017 (US). (72) Inventors: O'SHEA, Carmel; 48-50 44th Street, Woodside, NY 11377 (US). CASHMAN, Dana; 25 Myrtle Street, Winchester, MA 01890 (US). PEZZULLO, Dan; 97 East 7th Street #12, New York, NY 10009 (US). HEBERT, Ken; 12 Summerset Drive, Smithtown, NY 11787 (US). GUERRIERO, Charles; 2 Cori Lane, East Northport, NY 11731 (US). MANDEL, Boris; 3-08 26th Street, Fair Lawn, NJ 07410 (US). DRYSDALE, Vanessa; Apartment 38, 580 Salem Street, Wakefield, MA 01880 (US). DAMPHOUSSE, Diane; Apartment 3, 140 K Street, South Boston, MA 02127 (US). LEVINE, Howard; 2054 Holland Way, Merrick, NY 11566 (US). EKHTMAN, Lev; 66 Bay 10 Street, Brooklyn, NY 11228 (US). PECK, Will; 792 Westover Road, Stamford, CT 06902 (US). LEEPER, Richard; 3205 216th Court SE, Issaquah, WA 98029 (US). MILLER,</p>		<p>William, C.; 107 Westminster Drive, Pearl River, NY 10965 (US). KUMAR, Rajesh; 1 Gilbert Road, Chafford Hundred, Grays, Essex RM16 6NN (GB). (74) Agent: MURTHA, James, J.; Orrick, Herrington & Sutcliffe LLP, 666 Fifth Avenue, New York, NY 10103 (US). (81) Designated States: AL, AU, BA, BB, BG, BR, CA, CN, CU, CZ, EE, GE, HU, ID, IL, IS, JP, KP, KR, LC, LK, LR, LT, LV, MG, MK, MN, MX, NO, NZ, PL, RO, SG, SI, SK, SL, TR, TT, UA, UZ, VN, YU, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).</p> <p>Published <i>With international search report.</i></p>

(54) Title: PORTFOLIO INVESTMENT GUIDELINE COMPLIANCE AND FINANCIAL FUND ADMINISTRATION SYSTEM



(57) Abstract

A system (1) for portfolio compliance and administration receives data concerning financial instruments that comprise a financial fund (4) from a collection of information sources. Tests are designed and applied to the financial data to confirm that the fund is being managed in accordance with predetermined rules. The user may correct or update the financial data but this history of changes is recorded, allowing a complete audit. The financial data (or any reports based thereon) can be provided to the user in a number of formats (711, 712), such as on a computer display, in a printout or over a global computer network, such as the worldwide web. The user is notified automatically by urgent means when certain test results are obtained by the system. The fund may be tested for compliance with the fund rules (7), tax reports (8) may be created and a complete audit trail developed without importing the same data numerous times.